



COPY OF PAPERS  
ORIGINALLY FILED

MP  
\$

Please type a plus sign (+) inside this box →

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)		Application Number	09/992,550
		Filing Date	November 13, 2001
		First Named Inventor	SAXENA, GEETA
		Group Art Unit	1617
		Examiner Name	Unassigned
Total Number of Pages in This Submission	14	Attorney Docket Number	SMAR-017CIP
<b>ENCLOSURES (check all that apply)</b>			
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Requested <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communicati n to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (pleas identify below): Declaration Return receipt postcard	Remarks
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm or Individual Name	BRET E. FIELD, Reg. No. 37,620		
Signature			
Date	June 5, 2002		

<b>CERTIFICATE OF MAILING</b>			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: June 5, 2002.			
Typed or printed name	Donna Macedo		
Signature			Date June 5, 2002

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY OF PAPERS  
ORIGINAL FILED

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/992,550
Filing Date	November 13, 2001
First Named Inventor	SAXENA, GEETA
Examiner Name	Unassigned
Group Art Unit	1617
Attorney Docket No.	SMAR-017CIP

TOTAL AMOUNT OF PAYMENT (\$ 1401.00)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
Deposit Account Number 50-0815  
Deposit Account Name Bozicevic, Field & Francis LLP  
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant Claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 2. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101	740	201 370 Utility filing fee	370.00
106	330	206 165 Design filing fee	
107	510	207 255 Plant filing fee	
108	740	208 370 Reissue filing fee	
114	160	214 80 Provisional filing fee	
SUBTOTAL (1)			370.00

### 1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
38 - 20** = 18	x	9.00	= 162.00
Indep. Claims 5-3** = 2	x	42.00	= 84.00
Multiple Dependent =			

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103	18 203 9	Claims in excess of 20
102	84 202 42	Independent claims in excess of 3
104	280 204 140	Multiple dependent claim, if not paid
109	84 209 42	** Reissue independent claims over original patent
110	18 210 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$ 246.00		

\*\*or number previously paid, if greater; For Reissues, see above.

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130 205 65	Surcharge - late filing fee or oath	65.00
127	50 227 25	Surcharge - late provisional filing fee or cover sheet	
139	130 139 130	Non-English specification	
147	2,520 147 2,520	For filing a request for ex parte reexamination	
112	920* 112 920*	Requesting publication of SIR prior to Examination action	
113	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
115	110 215 55	Extension for reply within first month	
116	400 216 200	Extension for reply within second month	
117	920 217 460	Extension for reply within third month	
118	1,440 218 720	Extension for reply within fourth month	720.00
128	1,960 228 980	Extension for reply within fifth month	
119	320 219 160	Notice of Appeal	
120	320 220 160	Filing a brief in support of an appeal	
121	280 221 140	Request for oral hearing	
138	1,510 138 1,510	Petition to institute a public use proceeding	
140	110 240 55	Petition to revive - unavoidable	
141	1,280 241 640	Petition to revive - unintentional	
142	1,280 242 640	Utility issue fee (or reissue)	
143	460 243 230	Design issue fee	
144	620 244 310	Plant issue fee	
122	130 122 130	Petitions to the Commissioner	
123	50 123 50	Processing fee under 37 CFR 1.17(q)	
126	180 126 180	Submission of Information Disclosure Stmt	
581	40 581 40	Recording each patent assignment per property (times number of properties)	
146	740 246 370	For each additional invention to be examined (37 CFR § 1.129(a))	
149	740 249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740 279 370	Request for Continued Examination (RCE)	
169	900 169 900	Request for expedited examination of a design application	
Other fee (specify) _____			

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 785.00)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Bret E. Field	Registration No. (Attorney/Agent)	37,820	Telephone	(650) 327-3400
Signature				Date	06/05/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form.

Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CV



## UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS  
ORIGINALLY FILEDCOMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/992,550	11/13/2001	Geeta Saxena	SMAR017CIP

CONFIRMATION NO. 1457

## FORMALITIES LETTER



\*OC00000007196856\*

Bret E. Field  
Bozicevic, Field and Francis LLP  
Suite 200  
200 Middlefield Road  
Menlo Park, CA 94025

Date Mailed: 12/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$246.
  - \$162 for 18 total claims over 20.
  - \$84 for 2 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 681.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE